



assistant secretary, attested by the corporate seal to be a true and correct copy as amended to the date of such certificate.)

Check here if it has never been amended

5. **(For domestic insurers only)**

Is your company writing any classes of insurance in other states for which you are not licensed in California? Yes\_\_\_ No\_\_\_ If yes, enumerate.

(Note: California definitions of classes of insurance are set forth in the California Insurance Code §§100 - 123.)

6. Transfer of Property or Business (Merger/Reinsurance Ceded)

During the past calendar year, without having first obtained the written consent of the California Insurance Commissioner, has your Company transferred, or attempted to transfer, its entire property or business to any other person or entered into any transaction the effect of which is: (a) to merge or consolidate its business in or with any other person, whether or not admitted to California, or (b) to reinsure substantially all of its insurance business with any other person, whether or not admitted to California? As used herein, the word "substantially" means 50% or more. The word "person" includes all legal entities.

Yes\_\_\_ No\_\_\_ (If yes, explain in detail and attach all contractual arrangements.)

7. Reinsurance Assumed

During the past calendar year, without having first obtained the written consent of the California Insurance Commissioner, has the Company reinsured or assumed substantially all of the insurance business in force of any other insurer, reciprocal insurer (exchange), fraternal benefit society or grants and annuities society, whether or not admitted to California? As used herein, the word "substantially" means 50% or more.

Yes\_\_\_ No\_\_\_ (If yes, explain details noting name of cedent and any prior contact with the Department; attach copies of all contractual arrangements and, if applicable, assumption certificates.)

8. Conflicts of Interest

(a) During the past calendar year, without having first obtained the written consent of the California Insurance Commissioner, has any person having authority in the management of the Company's funds, or any officer, director or trustee of the Company: (a) received any money or valuable thing for negotiating, procuring, recommending or aiding in any loan from the Company or any purchase by or sale to the Company of any real or personal (tangible or intangible) property, (b) had any pecuniary interest as principal, coprincipal, agent, attorney or beneficiary in any such loan, purchase or sale, or (c) directly or indirectly purchased, or been pecuniarily interested in the purchase of any of the assets of the Company? As used herein, the word "property" also includes leases and management, investment and/or administrative service agreements.

Yes\_\_\_ No\_\_\_ (If yes, explain in detail and attach all contractual arrangements.)

**Answer part (b) only if you answered "yes" to part (a) above.**

(b) If the California Insurance Commissioner's prior written consent was obtained to the transaction and/or contractual arrangement, have there been, in the interim, any changes, modifications or amendments in either the terms or compensation without first having obtained the Commissioner's written consent to the changes, modifications or amendments?

Yes\_\_\_\_\_ No\_\_\_\_\_ (If yes, explain the changes noting any contact made with the Department with respect thereto and attach copies thereof.)

9. Servicing Insurance Contracts

During the past calendar year, without having first obtained the written consent of the California Insurance Commissioner, has your Company entered into any agreement or arrangement with any insurer or reciprocal insurer (exchange) not admitted to California (or a management company affiliated with a nonadmitted insurer or reciprocal insurer) providing for the nonadmitted entity to service (e.g., adjust or pay losses, collect premiums, issue policies, arrange reinsurance, etc.) insurance contracts entered into in California or issued for delivery in California?

Yes\_\_\_\_\_ No\_\_\_\_\_ (If yes, explain details noting any prior contact made with the Department with respect thereto and attach copies of all contractual arrangements.)

10. Managing General Agents

During the past calendar year, has your Company entered into or terminated a contract with a managing general agent without notifying the California Insurance Commissioner within 30 days thereof? The term "managing general agent" is defined in California Insurance Code §769.81(c) and includes persons and entities who manage all or a part of the insurance business of an insurer and acts as an agent for the insurer and either adjusts and pays claims or negotiates reinsurance on behalf of the insurer.

Yes\_\_\_\_\_ No\_\_\_\_\_ (If yes, explain in detail and attach all such contractual arrangements including reinsurance.)

11. (For mutual insurers only)

Without having obtained the California Insurance Commissioner's written consent pursuant to California Insurance Code §4030, has the Company made any changes, modifications or amendments (in either the terms or the compensation) to any contract which the Company has with any person either managing the Company's affairs or producing substantially all of the Company's insurance business?

Yes\_\_\_\_\_ No\_\_\_\_\_ (If yes, explain in detail the changes, etc., and attach a copy of the original approved contract and the changes or the new contract, as the case may be, plus a filing fee of \$128.00)

**Please see back page**

I hereby declare under the penalty of perjury under the laws of the State of California that the foregoing answers are true and correct.

By:  
Signature

(Corporate seal)

Print Name:

Title:

Date:

Name of person who filled out this Statement:

(Print)

(Title)

Telephone Number: (      )

(Enter toll free number - otherwise collect call must be accepted.)

Return to: **State of California**  
**Department of Insurance**  
**Legal Division**  
**Corporate Affairs Bureau**  
**45 Fremont Street, 24th Floor**  
**San Francisco, CA 94105**

(415) 538-4154